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PTO/SB/21 (02-04)

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	10/712,616
		Filing Date	November 12, 2003
		First Named Inventor	Jing Huang
		Art Unit	1631
		Examiner Name	TBA
Total Number of Pages in This Submission	183	Attorney Docket Number	3533.1

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <b>PTO Form 1449 (2 pp.)</b> <b>Postcard</b> <b>Non-U.S. Patent References</b>
<div style="border: 1px solid black; padding: 5px; width: fit-content;">Remarks</div>		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	Sandra Wells Reg. No. 52,349	
Signature		
Date	June 16, 2004	

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Rajpreet Aujla		
Signature		Date	June 16, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT  
Attorney Docket No. 3533.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Huang, Jing et. al.

Examiner: TBA

Serial No: 10/712,616

Group Art Unit: 1631

Filing Date: November 12, 2003

INFORMATION DISCLOSURE  
STATEMENT

Title: **Methods for Identifying DNA  
Copy Number Changes**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR § 1.56, § 1.97 and § 1.98, the documents listed on the accompanying U.S. Patent & Trademark Office's Modified Form-1449 are called to the attention of the Examiner for consideration in connection with the above-identified patent application. Copies of the non-U.S. patent documents are enclosed.

Citation of these documents shall not be construed as (1) an admission that the documents are necessarily prior art with respect to the instant invention; (2) a representation that a search has been made; or (3) an admission that the information cited herein is, or is considered to be, material to patentability in any way, including that as defined in § 1.56(b).

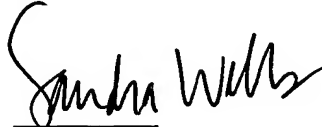
Applicants believe that no fee is required for submission of this statement. However, if an Office Action on the merits has been mailed, the Commissioner is hereby

authorized to charge the required fees to Account No. 01-0431 in order to have this Information Disclosure Statement considered.

Dated: June 16, 2004

Respectfully submitted,

Customer No. 22886  
Legal Department  
Affymetrix, Inc.  
3380 Central Expressway  
Santa Clara, CA 95051  
Tel: (408) 731-5000/Fax (408) 731-5392

  
Sandra Wells  
Reg. No. 52,349



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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 3

### Complete if Known

Application Number	10/712,616
Filing Date	November 12, 2003
First Named Inventor	Jing Huang
Art Unit	1631
Examiner Name	Unknown
Attorney Docket Number	3533.1

### U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
	A	US-6,468,744	10-22-2002	Cronin, et al.	
	B	US- 6,455,258	09-24-2002	Bastian, et al.	
	C	US- 6,335,167	01-01-2002	Pinkel, et al.	
	D	US- 6,326,148	12-04-2001	Pauletti, et al.	
	E	US- 6,309,822	10-30-2001	Fodor, et al.	
	F	US- 6,180,349	01-30-2001	Ginzinger et al.	
	G	US- 5,976,790	11-02-1999	Pinkel et al.	
	H	US- 5,965,362	10-12-1999	Pinkel et al.	
	I	US- 5,856,097	01-05-1999	Pinkel et al.	
	J	US- 5,665,549	09-09-1997	Pinkel et al.	
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### FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
	K	WO 99/23256	05-14-1999	Wigler et al.		

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08b(08-03)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2 of 3

**Complete if Known**

Application Number	10/712,616
Filing Date	November 12, 2003
First Named Inventor	Jing Huang
Art Unit	1631
Examiner Name	Unknown
Attorney Docket Number	3533.1

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	L	BUCKLEY et al., A Full-coverage, High-resolution Human Chromosome 22 Genomic Microarray for Clinical and Research Applications. Human Molecular Genetics, 2002, 3221-3229, Vol. 11(5).	
	M	DUMUR et al., Genome-wide Detection of LOH in Prostate Cancer Using Human SNP Microarray Technology. Genomics, 2003, 260-269, Vol. 81.	
	N	KALLIONIEMI et al., Comparative Genomic Hybridization: A Powerful New Method for Cytogenetic Analysis of Solid Tumors. Science, 1992, 818-821, Vol. 258.	
	O	KENNEDY et al., Large-scale Genotyping of Complex DNA. Nature Biotechnology, October 2003, 1233-1237, Vol. 21 (10).	
	P	KLEIN et al., Comparative Genomic Hybridization, Loss of Heterozygosity, and DNA Sequence Analysis of Single Cells, Proc Natl Acad Sci, 1999, 4494-4499, Vol. 96.	
	Q	LINDBLAD-TOH et al., Loss of Heterozygosity Analysis of Small Cell Lung Carcinomas Using Single-Nucleotide Polymorphism Arrays. Nature Biotechnology, September 2000, 1001-1005, Vol. 18.	
	R	LUCITO et al., Representational Oligonucleotide Microarray Analysis: A High-Resolution Method to Detect Genome Copy Number Variation. Genome Research, 2003, 2291-2305, Vol. 13 (10).	
	S	LUCITO et al., Detecting Gene Copy Number Fluctuations in Tumor Cells by Microarray Analysis of Genomic Representations. Genome Research, 2000, 1726-1736, Vol. 10(11).	
	T	LUCITO et al., Genetic Analysis Using Genomic Representations. Proc Natl Acad Sci, April 1998, 4487-4492, Vol. 95.	
	U	MEI et al., Genome-wide Detection of Allelic Imbalance Using Human SNPs and High-density DNA Arrays. Genome Research. 2000, 1126-1137, Vol. 10 (8).	
	V	PINKEL et al., High Resolution Analysis of DNA Copy Number Variation Using Comparative Genomic Hybridization to Microarrays. Nature Genetics, 1998, 207-211, Vol. 20.	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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		Application Number	10/712,616
		Filing Date	November 12, 2003
		First Named Inventor	Jing Huang
		Art Unit	1631
		Examiner Name	Unknown
Sheet 3 of 3	Attorney Docket Number	3533.1	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	W	POLLACK et al., Microarray Analysis Reveals a Major Direct Role of DNA Copy Number Alterations in the Transcriptional Program of Human Breast Tumors. Proc Natl Acad Sci, October 2002, 12963-12968, Vol. 99 (20).	
	X	SCHUBERT et al., Single Nucleotide Polymorphism Array Analysis of Flow-Sorted Epithelial Cells from Frozen Versus Fixed Tissues for Whole Genome Analysis of Allelic Loss in Breast Cancer. Am J Pathol, 2002, 73-79, Vol. 160.	
	Y	SNJDERS et al., Assembly of Microarrays for Genome-wide Measurement of DNA Copy Number. Nature Genetics, 2001, 263-264, Vol. 29.	

Examiner Signature		Date Considered	
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